

Request for Applications For Competition for Governments and Non- Profit Organizations for Pay for Success Transaction Structuring

RFA # 87618754

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**Questions regarding this RFA should be submitted through
The Utah Procurement Portal at:**

**[https://bids.scquest.com/apps/Router/PublicEvent?
CustomerOrg=StateOfUtah](https://bids.scquest.com/apps/Router/PublicEvent?CustomerOrg=StateOfUtah)**

**Sourcing Event #: #87618754
In the Question and Answer Section**

SECTION 1 - RFA FOR PAY FOR SUCCESS TRANSACTION STRUCTURING PROGRAM

1.01 Scope of Program

The purpose of this Request for Applications (RFA) is to solicit applications to enter into a Grant Agreement with a qualified Subrecipient Applicant(s) to participate in the Pay for Success Transaction Structuring Program administered by the Sorenson Impact Center of the University of Utah and Social Finance Inc., hereafter referred to as the “Eligible Partnership.” The governmental entities and/or nonprofit organizations submitting applications in response to this RFA will hereafter be referred to as “Subrecipient Applicant(s).” The Eligible Partnership is issuing a general call for applications and may decide, after reviewing those applications submitted, not to enter into any agreement.

The [Social Innovation Fund](#) (SIF), a program of the Corporation for National and Community Service (CNCS), combines public and private resources to grow the impact of innovative, community-based solutions that have compelling evidence of improving the lives of people in low-income communities throughout the United States. In 2015, SIF released a Notice of Funding Availability (NOFA) of up to \$10.6 million for the 2016 SIF PFS grant competition to advance PFS by providing funding for Transaction Structuring activities in order to move High-Quality PFS Projects from the developmental stage to the implementation stage.

In 2016, the Eligible Partnership was awarded a cooperative agreement from the Social Innovation Fund of the Corporation for National and Community

Service to structure and enable Pay for Success (PFS) projects within governments and nonprofit organizations that have previously deemed their project feasible and suitable for PFS. The purpose of this RFA is to select up to three local, state, tribal, territorial governments and/or nonprofits in the target geography to participate in the Eligible Partnership's transaction structuring program. Each Subrecipient Applicant selected will receive a combination of cash grant and in-kind technical assistance from the Eligible Partnership designed to support transaction structuring activities that move projects from PFS development and feasibility to implementation of PFS-financed programs.

Overview of the Program

Performance-based contracting and PFS projects are complex and require a significant commitment of time and effort from staff. The Eligible Partnership believes that increasing performance-based contracting and PFS-oriented capacity can accelerate the number of high quality PFS projects and also catalyze a broader shift towards evidence-based programs and policies.

The Eligible Partnership is offering the opportunity to grow valuable internal capacity to advance PFS by supporting transaction structuring activities in order to move high-quality PFS projects from developmental and feasibility stages to implementation. Through the Request For Applications (RFA) process, the Eligible Partnership will select up to three Subrecipient(s) to participate in the transaction structuring program, pursuant to which each Subrecipient may receive a combination of a cash grant and technical assistance support and educational services from the Eligible Partnership valued at \$420,000-\$520,000 in combined federal funds and the Eligible

Partnership's matching funds. As part of its award, each Sub-recipient may also apply for \$75,000-\$100,000 in cash, which is intended to aid Sub-recipient(s) in hiring the Innovation Program manager. Technical assistance support may include:

- (1) Overall PFS project coordination and support;
- (2) High-level data, economic and demographic analyses to help identify and describe target populations and baseline outcomes;
- (3) Participation from the Eligible Partnership on PFS project working groups;
- (4) Mediating and facilitating agreement between each of the parties to the PFS project;
- (5) Closing the PFS project and preparing for post-closing activities;
- (6) Developing the capital structure, financial terms, and coordinating the capital raising process;
- (7) Supporting "ramp-up" activities;
- (8) General problem-solving to PFS-related resources around the country, answering questions and providing guidance on structuring matters;
- (9) Sharing documents, templates, best practices and contacts within the field.

About the Sorenson Impact Center

The Center is an applied academic institution at the University of Utah's David Eccles School of Business. The Center's mission is to marshal capital for social good, empower data-driven programs, break down silos across sectors, and equip the next generation of leaders with social purpose. The

Pay for Success work of the Center is funded in part from generous grants received from the White House's Office of Social Innovation / the Corporation for National & Community Service, the Sorenson Impact Foundation, the Laura and John Arnold Foundation, and the J.B. Pritzker Foundation.

About Social Finance, Inc.

[Social Finance, Inc.](#) is a 501(c)(3) nonprofit organization dedicated to mobilizing capital to drive social progress. Social Finance is committed to using Pay for Success to tackle complex social challenges, facilitate greater access to services for vulnerable populations, and direct capital to evidence-based social programs – all with the goal of measurably improving the lives of people most in need. Social Finance has deep experience in the design and implementation of Pay for Success projects, from early-stage feasibility assessment, to project development and capital formation, to post-launch performance management and investment support. In the six years since the world's first Pay for Success project launched in the United Kingdom by Social Finance UK (sister organization to Social Finance US), there are over 75 projects underway in eighteen countries, including seventeen projects in the United States.

About the Eligible Partnership

The Eligible Partnership between the Sorenson Impact Center and Social Finance, Inc. was established with a \$2.6M grant from the Corporation for National and Community Service's second Social Innovation Fund's (SIF) Pay for Success competition, and is the first collaborative grant between the two organizations. Together, the Eligible Partnership possesses high-level PFS expertise, which will inform their comprehensive approach to help jurisdictions not only structure PFS projects but also prepare them for long-

term success. Selected government and nonprofit recipients will benefit from the Partnership's previous experience conducting successful PFS-focused technical assistance programming and the successful design and implementation of numerous PFS projects.

1.02 Eligibility Requirements

Eligible Applicants

This RFA is open to eligible Subrecipient Applicants that have completed PFS feasibility including nonprofit organizations (also referred to as "service providers"), state and local governments (and other political subdivisions), tribes, and faith-based organizations throughout the United States and its Territories. Eligible nonprofit organizations include those described in 2 CFR 200.70.

§ 200.70: "Nonprofit organization means any corporation, trust, association, cooperative, or other organization, not including IHEs, that: (a) Is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (b) Is not organized primarily for profit; and (c) Uses net proceeds to maintain, improve, or expand the operations of the organization."

Government entities may apply on their own. Service providers may apply on their own but must include a letter of commitment from an entity (government or other) who is committed to serving as an outcomes payor. All applicants will be required to demonstrate the strength of the presence and commitment of an outcomes payor in the Evaluation Criteria.

Partnerships of the above organizations are eligible to apply. A Collaborative Application is a formal relationship between two existing eligible applicants as defined above, where the partner organizations will share responsibilities under the award and should include a legal agreement, such as a Memorandum of Understanding, outlining the roles and responsibilities of each partner. For a partnership, a single lead entity should submit an application to the Eligible Partnership on behalf of the collaborative application.

Target Geography

Eligible entities may be located within the United States and its Territories.

Sub-selection scoring criteria will prioritize social issues, geographical area and target populations that are compatible with PFS structures but that have not historically been the focus of PFS projects. A list of geographical areas that have not historically been the focus of PFS projects are below.

Alaska	Nebraska
Arizona	Nevada
Hawaii	New Mexico
Idaho	North Dakota
Iowa	Oregon
Indiana	South Dakota
Kansas	Texas
Kentucky	Washington

Montana
Minnesota
Missouri

Wisconsin
Wyoming
Pacific Territories of the United
States
Tribal Lands

Focus Areas

The Eligible Partnership will only make awards to applicants targeting one or more of the focus areas listed below. Applications that do not specifically identify with one or more focus areas will not be considered for awards:

- (1) Youth Development – Preparing youth for success in school, active citizenship, productive work, and healthy and safe lives;
- (2) Economic Opportunity – Increasing economic opportunities for economically disadvantaged individuals;
- (3) Healthy Futures – Promoting healthy lifestyles and reducing the risk factors that can lead to illness.

Levels of Evidence

Proposed interventions must have at least a preliminary level of evidence¹,

¹ “Preliminary evidence” is defined as evidence that is based on a reasonable hypothesis and supported by credible research findings such as third-party pre- and post-test research.

with a preference for a moderate² to strong³ level of evidence. Projects that include a mix of interventions should ensure that, at minimum, one of the interventions has a preliminary or greater level of evidence.

1.03 Application Requirements and Evaluation Criteria

Note: Applicants must respond to all sections of this RFA, including sections 1 through 4.

The Eligible Partnership suggests a response to be no longer than ten (10) single-spaced pages (Arial 12-point font, one-inch margins) for the response to this RFA (for clarification, see Section 3 – Application Response Format).

Mandatory Requirements

The following points are required and will be evaluated on an Acceptable or Unacceptable basis. The requirements below must receive an acceptable rating. Those applications not passing this evaluation level will be eliminated from further evaluation. Refer to Section 1.02 for additional information on eligibility.

2 “Moderate evidence” is defined as evidence from previous studies on the intervention, the designs of which can support causal conclusions (i.e., studies with high internal validity) but have limited generalizability (i.e., moderate external validity).

3 “Strong evidence” is defined as evidence from previous studies on the intervention, the designs of which can support causal conclusions (i.e., studies with high internal validity), and that, in total, include enough of the range of participants and settings to support scaling up to the state, regional, or national level (i.e., studies with high external validity).

- (1) PFS feasibility** - Applicants—including nonprofit organizations, state and local governments (and other political subdivisions), tribes, and faith-based organizations—that have completed PFS feasibility may apply to this RFA. Please include a short description of your type of agency in your cover letter. Applicants should attach any feasibility studies already completed as an appendix to the application.

PFS feasibility is defined as the following: having assessed community needs; identified target populations; identified the current total costs and projected the potential public value to be achieved through potential interventions by defining metrics and analyzing the economics in a high-level financial model; identified opportunities to achieve outcomes more cost-effectively; evaluated the suitability of implementing one or more interventions by assessing service providers, reviewing evidence, and evaluating organizational capacity; and evaluated willingness and capacity of stakeholders to implement a PFS project, including public/payor support and administrative data availability.

Applicants that have completed PFS feasibility or have a clear path toward completion may apply. If feasibility is not complete, Applicants should address this in their Work plan.

- (2) Presence of a Payor** - In addition, the applicants must include a signed letter of commitment from an individual or entity to act as an Outcomes Payor (whose outcomes payments may be directed to investors if they have covered, in part or in whole, costs associated with delivering the intervention).

- a. For government entities, this letter should be signed by an agency with the authority to direct funds towards outcome payments (e.g., budget, relevant programmatic government agency, etc.).
- b. For service providers or collaborative applicants, this letter should be signed by the individual or agency with the authority to direct funds toward outcome payments, additionally specifying if any further procurement or contracting arrangement is required. The letter should be compliant with the local jurisdiction's procurement rules, and need not indicate a specific provider.

(3) Ability to Make Cash and/or In-Kind Match - Subrecipient
Applicants must demonstrate an ability to make cash and/or in-kind contributions of at least 50% of the total grant amount.

Technical Requirements

The following section outlines the Center's criteria for selecting Sub-recipients. Reviewers will assess the applications against the following selection criteria: Organizational Commitment; Organizational Capability; Theory of Change; and Goals and Objectives. The weights assigned to each category are detailed in the chart below.

Theory of Change.

Subrecipient Applicants should articulate a theory of change by providing a compelling statement of unmet need in the community in a core policy area for the applicant that aligns with one or more of the focus areas outlined

below. Subrecipient Applicants should also state why the government or nonprofit wishes to explore PFS in that context. Successful applications will include a compelling justification for how the Eligible Partnership's sub-award will allow the Subrecipient Applicant to execute on its theory of change.

Issue areas must fall within one or more of the CNCS policy priorities outlined in Section 1.02 and applicants should identify the issue area(s) addressed by the application.

Strength of the Commitment from Outcomes Payor(s).

Applicants should:

- (1) Identify one or more Outcome Payor(s) and clearly demonstrate commitment to provide sufficient funds for outcome/success payments.
- (2) Provide evidence of this commitment as demonstrated through one or more of the following:
 - c. an executive order,
 - d. budget appropriation or legislation authorizing and funding PFS in the issue area identified in this application,
 - e. identification of existing funding streams that will be used for PFS outcome payments and actions taken to dedicate those funds to PFS,
 - f. creation of a sinking fund to reserve funds for PFS, or
 - g. other clear and binding documentation that there is a government or other entity committed to providing

outcome payments for a PFS project in the identified issue area.

If more than one outcome payor is identified, please address this criteria for each outcome payor.

Target Population and Intervention.

Applicants should:

- (1) Clearly describe and define the target population.
- (2) Clearly describe the proposed intervention and indicate if the proposed PFS project will expand an existing evidence-based intervention in the jurisdiction or implement a new intervention or strategy with a significant likelihood for impact.
- (3) Describe the evidence for the intervention(s) identified*. The intervention must have at least a preliminary level of evidence, as described in Section 1.02. Projects that include a mix of interventions should ensure that, at minimum, one of the interventions has a preliminary or greater level of evidence.
- (4) Describe the outcome measures for the target population that the project seeks to improve.

*Note: If an intervention has not yet been selected, Applicants should be able to articulate the project's 1. Issue area, 2. Outcome goals, 3. Discrete target population, and should address how the Applicant plans to select an intervention in their Work plan.

Organizational Commitment.

Applicants should:

- (1) Demonstrate a deep understanding and commitment of the time, resources, stakeholder collaboration, and data access that are required within their organization and the broader community to successfully implement high-quality performance-based contracting and PFS projects:
 - a. For governments: Applicants should describe how performance-based contracting and PFS fit with the overall mission, objectives, and agenda of policymakers in the organization and provide an assessment of any imminent election-cycle changes that could impact this commitment. Applicants should also demonstrate how key administrative offices, including legal, budget, data, communications and procurement, as well as program delivery agencies, are supporting this initiative.
 - b. For service providers: Applicants should describe how performance-based contracting and PFS fits within the overall mission and agenda of its organization as well as the overall mission and agenda of the committed outcome payor(s). Applicants should provide an assessment of any imminent election-cycle changes that could impact this commitment from the outcome payor. Additionally, applicants should demonstrate that key Outcome Payor administrative offices, including legal, budget, data, communications and procurement (if necessary), are supporting the initiative.

Organizational Capability

Applicants should:

- (1) Demonstrate sufficient personnel capacity. The Eligible Partnership expects that work under this award will be led by an Innovation Program Manager who is highly motivated to catalyze PFS and related activities. While direct experience with PFS projects or outcomes-based contracting is not required, the Eligible Partnership prefers that the Innovation Program Manager has substantive academic or professional background in the following PFS-related areas: social science, social service delivery, quantitative evaluation, budget management, policy development / analysis, project management, and/or financial services. Service providers must also identify individuals within the identified committed outcome payor(s), in addition to its organization, who will be responsible for planning and implementing PFS for the outcome payor(s).

Applicants should:

- a. Identify and describe the individual(s) in their organization that would be designated as Innovation Program Manager(s), including by providing a current CV for each proposed Innovation Program Manager and a description of any PFS-relevant academic and professional experience. If an applicant intends to hire new staff to become an Innovation Program Manager, they should clearly articulate a hiring plan, including anticipated selection, and timeline that allows an Innovation Program Manager to begin within a reasonable timeframe, as described in the Applicant's work plan.

- b. Submit an organizational structure chart indicating the position and reporting relationship(s) of proposed Innovation Program Manager(s) and provide a description of other key personnel who will be involved in PFS, including position title; description of duties and responsibilities; position qualifications; supervisory relationships; skills, knowledge, and experience.
- c. Clearly demonstrate that the proposed Innovation Program Manager has the ability to work closely with government officials and other policymakers (across agencies and local jurisdictions) whether through an established track record, job title, relationships, or some combination thereof. The applicant must demonstrate that the individual(s) has the internal managerial authority to drive PFS projects to completion.

(2) Demonstrate PFS Readiness. Applicants should demonstrate their readiness for transaction structuring by:

- a. Providing detail related to key feasibility activities completed thus far as well as any outstanding feasibility activities (applicants should include a plan to successfully complete any remaining activities in the work plan below).
- b. Clearly articulate PFS-related goals and objectives for the coming year and how the sub-award and related technical assistance services from the Eligible Partnership will enable applicant to achieve those goals and objectives. This description should include:
 - i. Current and past programming and services aimed at

addressing the identified PFS policy issue area, including experience in designing, implementing and assessing initiatives that demonstrate solid infrastructure, institutional commitment and potential for success in addressing the issue area.

- ii. Challenges foreseen in implementing PFS in their jurisdictions and how they plan to address those challenges in planning and implementation.

(3) Demonstrate experience with timely execution of grant agreements. Applicants should document any questions, concerns, or comments they have with the attached draft grant agreement, and should articulate the process required to execute the Grant Agreements in a timely fashion. This should include a description of the legislative process and timeline required, if any, involved in executing such Agreements.

Work Plan:

Applicants should:

- (1) Provide a preliminary work plan, clearly describing proposed deliverables, action items, milestones and/or measureable outcomes for the grant year, as well as demonstrate their ability to track progress towards those goals and objectives, listing any metrics that may be used in these assessments. For the work plan, applicants should distinguish between process goals (i.e., milestones) and outcome goals under applicants' theory of change.

For each key action item, the work plan should identify responsible persons and a preliminary timeline. Examples of deliverables include:

- a. Execution of Grant Agreement
- b. Completing any remaining feasibility phase activities, including selecting an evidence-based intervention
- c. Hiring key leadership with experience in PFS/evidence-based decision making, including the Innovation Program Manager
- d. Establishment of a project team to lead transaction structuring work on behalf of Subrecipient
- e. Development of project hypothesis, including identification of target population (e.g., size, location and eligibility criteria) and outcomes to be measured
- f. Obtain and analyze relevant administrative data across key agencies, as well as service provider data if needed, to confirm project hypothesis
- g. Develop project budget estimating ramp-up, service delivery and transaction costs
- h. Develop price per outcome and finalize economic model reflecting potential cash flows
- i. Select and procure evaluator
- j. Procure a service provider, if applicable
- k. Finalize evaluation design
- l. Finalize operations plan, including agreements with referral sources, local implementing agencies, data sharing agreements, etc.
- m. Draft PFS main agreement and related legal documents (e.g., schedules, evaluator agreement, etc.)

If selected, the Eligible Partnership will work with the Subrecipient to refine and finalize the work plan.

Program Budget (including cash and/or in-kind Match), Narrative, and Financial Accounting.

Applicants should:

- (1) Submit a one-year budget and accompanying budget narrative reflecting the resources and personnel dedicated to the project. Budget items can include, but are not limited to the following:
 - a. Personnel Expenses: Please include the title of each position, salary of each position, and the amount of time (i.e., % FTE) each position will work on PFS-related activities.
 - b. Fringe Benefits: Please provide the basis for any fringe benefit amounts. Examples of some common fringe benefits may be the employer's share of FICA, Medicare, health insurance and retirement plan contributions.
 - c. Equipment: Please include a description and cost of any necessary equipment to be purchased that exceeds \$5,000, and provide a summary of why the equipment is needed and how it will be used.
 - d. Contractual and Consultant Services: Please provide a description of any services and the basis of the budgeted cost, such as for data collection.
 - e. Other: Please include costs not included in the categories above. The Subrecipient Applicant should include the costs of

criminal background checks for personnel working on this service agreement. The National Service Criminal History Check consists of three parts: 1) Federal Bureau of Investigation (FBI) finger-print based check, 2) State criminal history registry check, and 3) National Sex Offender Public Registry check. Additional information about which of these background checks are required for personnel may be found [here](#).

The amount of cash and/or in-kind contributions of at least 50% of the total grant amount should be included in the budget.

All expenditures will be subject to Office of Management and Budget (OMB) Circular Standards (A-21, A-87, A-102, A-110, A-122). In addition, applicants' budgets will be reviewed to ensure they are reasonable and appropriate to meet applicants' proposed PFS goals and objectives. Budgets should take into account any funds needed to increase applicants' capacity for data gathering / management.

- (2) Submit a Budget Narrative. In addition to the budget provided in the template above, applicants must also complete an accompanying budget narrative that includes the following:
- a. A detailed narrative description for every line item category included in the budget form.
 - b. If grant funds will not be used to hire a Program Innovation Manager, Applicants should describe how funds will be used to effectively support PFS activities described in the application narrative. Applicants should not include

unexplained amounts, amounts for miscellaneous or contingency costs, or costs not allowed under federal funding requirements.

- c. Whether the organization has the following financial accounting capabilities/systems:
- i. A job cost accounting system that allows applicants to record budgets, revenue and expenses by cost center, jobs, grants and activities (Yes/No)
 - ii. If yes, the name of the accounting system used by the organization
 - iii. Automated payroll system (Yes/No)
 - iv. Time and attendance (timesheet) system (Yes/No)

Category	Percentage	Sub-Category	Points (Total = 100)
Theory of Change	5%	Articulates a compelling theory of change and identifies a policy issue area that fits within one or more of the CNCS policy priority areas. Provides compelling justification for how the sub-grant will allow applicant to execute on its theory of change.	5
Strength of the Commitment from	25%	Identifies one or more Outcome Payor(s) and clearly demonstrates commitment to provide sufficient funds and Provides evidence of commitment	25

Outcomes Payor(s)		from identified Outcomes Payor(s)	
Target Population and Intervention	15%	Clearly defines the target population and described the proposed intervention. Describes evidence for the intervention(s) identified and the outcome measures for the proposed target population. If an intervention has not been selected, applicant clearly describes their proposed process for selecting the intervention	15
Organizational Commitment	15%	<p>Demonstrates understanding and commitment of time, resources, stakeholder collaboration, and data access required to develop and sustain a high-quality PFS project:</p> <p>For governments: Describes how PFS fits with the overall mission of policymakers in the organization and demonstrates support from key administrative offices</p> <p>For service providers: Describes how PFS fits within the overall mission of the organization as well as the mission of the committed outcome payor.</p>	15

		Applicants should demonstrate that key Outcome Payor administrative offices are supporting the initiative	
Organizational Capability	20%	Clearly demonstrates sufficient personnel capacity to catalyze PFS related activities and identifies a qualified Innovation Program Manager with the ability to work closely with PFS stakeholders.	5
		Demonstrates readiness for PFS transaction structuring by: <ul style="list-style-type: none"> a. Providing details related to completed PFS feasibility activities, and b. Articulating how technical 	10

		assistance from the Eligible Partnership will enable applicant to achieve PFS goals	
		Demonstrates experience with timely execution of grant agreements	5
Work Plan	5%	Provides a preliminary work plan that clearly describes action items, milestones, and measureable outcomes for the grant year, as well as demonstrates ability to track progress towards those goals and objectives.	5
Budget	5%	Budget and accompanying narrative clearly articulate the requested amount and proposed uses of the sub-grant. Demonstrate that the proposed uses of the funds are reasonable, appropriate, eligible under the terms and conditions set forth in the RFA, and will further the PFS-related goals and objectives of the government.	5
Novel Issue	5%	The Eligible Partnership review team will prioritize social issues and target populations that are compatible with PFS structures but that have not historically been the focus of PFS projects.	5
Novel	5%	The Eligible Partnership review team	5

Jurisdiction		will prioritize jurisdictions within the broader Target Geography that have not historically been the focus of PFS projects.	
TOTAL	100%		100

Optional—Letters of Support

Applicants should demonstrate support of elected officials and other policy makers regarding the issue area generally, PFS, and/or other innovative funding strategies specifically. Letters of support, although not required, will be reviewed, and can be used to substantiate project commitment from internal and external stakeholders. No points will be awarded to this section, and letters will not count as part of the total pages.

1.04 Post-selection Details

Financial Reporting and Reimbursements

The Subrecipient shall submit to the Eligible Partnership quarterly financial reports. Exact parameters of the reports shall be defined in writing by the Eligible Partnership, in accordance with guidelines from CNCS, and are subject to change throughout the course of the term of the Grant Agreement.

The Subrecipient shall provide all required documentation with the quarterly reports. Reports must be submitted to the Eligible Partnership within twenty (20) calendar days after the end of the last day of each quarter with the final reports due within forty-five (45) calendar days of the last day of the term of the Grant Agreement unless there is an agreed-upon written extension by

the Eligible Partnership.

In-Kind and/or Cash Match Requirement

Sub-recipients will be required to provide a cash and/or in-kind match equal to 50% of the combined value of the grant. In-kind matching contributions must meet the following criteria: 1) verifiable; 2) necessary and reasonable for proper and efficient accomplishment of project objectives; 3) allowable; and 4) not paid by the federal government under another award or used as a match for another award.

Programmatic Reporting

The Subrecipient shall submit quarterly performance reports that provide a status update on PFS activities, and progress towards the performance goals and objectives. The timeline of these reports will be identified and agreed upon in the grant agreement process.

The Eligible Partnership will review each sub-grantee's progress by charting performance against the work plan and the terms and conditions of the Grant Agreement in order to identify and address any performance issues in a timely way.

Reports are due twenty (20) calendar days after the end of each quarter. The performance reports shall assess progress with respect to agreed-upon performance metrics, including but not limited to: programmatic success, challenges, stories, progress to-date on activities.

SECTION 2 - RFA DETAILS

- 2.01 Issuing office and RFA Reference Number. The Purchasing Department of the University of Utah is the issuing office for this RFA and all subsequent addenda relating to it. The reference number for the transaction is #87618754. This number must be referenced on all applications, correspondence, and documentation relating to the RFA.
- 2.02 Important Dates. The following dates are significant for this RFA:
Week of May 8th, 2017 and Week of May 22nd, 2017 : Host RFA-Release Webinar for potential applicants
May 26, 2017 at 8:30 PM MT: Non-binding Letters of Intent to Apply are due
June 1, 2017 at 8:30 PM MT: Public cutoff for questions regarding the RFA
June 9, 2017 at 8:30 PM MT: Applications due
July 3, 2017: Select and notify awardees by way of email and phone call
- 2.03 RFA-Release Webinar. **Two RFA-Release Webinars will be held the week of May 8th and May 22nd, 2017 to answer questions regarding this solicitation.** The meeting is for informational purposes only and information provided is not binding. If the RFA needs to be modified or clarified, a written addendum will be issued electronically. Attendance is not required.

Information regarding the dates and times as well as how to join these webinars will be posted at <http://sorensonimpact.com/sif-structuring-grant>:

- 2.04 Notice of Intent to Apply. Although it is not required, the Eligible Partnership encourages potential applicants to submit a Notice of Intent to Apply. To do so, please state your intent to apply in an email to lmontoya@purchasing.utah.edu by Friday, May 26, 2017 at 5:00 p.m. Mountain Time. Please include the name of the applicant organization, address, contact person, and phone number in your Notice of Intent to Apply. The notice helps the Eligible Partnership plan an efficient application review process.
- 2.05 Inquiries. Questions arising subsequent to the issuance of this RFA, that could have a significant impact on the responses to the RFA, should be submitted in the RFA Question and Answer section (RFA # #87618754 in The Utah Procurement Portal). All such questions should be received by **June 1, 2017 at 5:00 PM Mountain Time.** Answers to questions will be posted on The Utah Procurement Portal which will then email the answer to all offerors that downloaded the RFA.
- 2.06 Submission Due Date. **Submit your application electronically through The Utah Procurement Portal by 8:30 p.m. Mountain Time on Friday, June 9, 2017.** Applications submitted electronically through BidSync may require uploading of electronic attachments. The Utah Procurement Portal will accept a wide variety of document types, such as Word, Excel, and PDF attachments. You MAY NOT submit documents that are embedded (zip files), movies, wmp and mp3 files

or password protected files, etc. The Eligible Partnership highly encourages all submissions to be in a single, electronic document in PDF format.

Applicants received after this deadline will be late and ineligible for consideration. Following the deadline, the names of those responding to the RFA will be made public. All other information will remain confidential, as required by law (please see section 4.01 herein).

2.07 Award Notification. All applicants will be notified by July 3, 2017 via email or phone call with additional information sent via The Utah Procurement Portal. Notice of award will be embargoed until formally announced by the Corporation for National and Community Service. Within 90 days of announcing awards to Subs, the Eligible Partnership will publish the following items on The Utah Procurement Portal:

- A list of all compliant applications submitted
- A list of select Sub-recipients
- Executive summaries of selected Sub-recipients
- The names of application reviewers outside the Eligible Partnership

2.08 Evaluation Process. All applications in response to this RFA will be evaluated as follows:

1. In the initial phase of the application evaluation process, the evaluation committee will review all applications timely received.

Each applicant bears sole responsibility for the items included or not included in the response submitted by that supplier. The Eligible Partnership reserves the right to disqualify any application that includes significant deviations or exceptions to the terms, conditions and/or specifications in this RFA.

2. At the conclusion of this initial evaluation phase, remaining applicant technical applications will be selected for detailed review and evaluation by the Expert Review Panel.
3. Following the Expert review, the Eligible Partnership will conduct a risk assessment evaluation, and will evaluate the risks to the program posed by each applicant. If the Eligible Partnership Review Team determines that an award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award.
4. Verbal clarification may be required from up to the 8 highest scored applications. The Eligible Partnership will be the sole judge as to the overall acceptability of any application or to judge the individual merits of specific provisions within competing offers.
5. CNCS staff will review the results and the Eligible Partnership's recommendations for fairness and consistency. Some applications may be selected for a post-review quality control assessment.

2.09 Time for Evaluation. All applications shall remain valid for a minimum of 120 calendar days after the Application Due Date to allow adequate time for evaluation.

2.10 Multiple Stage Process. The Eligible Partnership reserves the right to conduct the RFA in a multiple stage process and narrow the number of

offerors that will move on to a subsequent stage or Best and Final Offer (BAFO).

- 2.11 Best and Final Offer. Best and Final Offer (BAFO) may be requested as part of this process from responsive and responsible proposals received.
- 2.12 Award of the Grant. Upon completion of the evaluation process, the Eligible Partnership may award the Grant Agreement (“Grant Agreement”) to up to three Sub-recipients whose applications are determined to be most inline with the objectives set forth in this RFA. The Eligible Partnership is the only entity authorized to award a Grant for the proposed awards.
- 2.13 Grant Agreement Requirement. Subrecipients will be required to enter into a Grant Agreement. A draft agreement is attached to this RFA as Exhibit 1. The Grant Agreement will include accountability and performance measures for Innovation Program Managers to ensure that their time is being spent productively furthering PFS in that jurisdiction. The Grant Agreement will also include a detailed timeline including milestones and deliverable deadlines as agreed between the Eligible Partnership and each Subrecipient. The Eligible Partnership will retain the ability to terminate services in the event of material non-performance or in the event of a change in administration that materially impairs the level of Subrecipient commitment to PFS.

- 2.14 Grant Period and Effective Date. The anticipated Grant term will be for a period of up to 18 months. The anticipated effective date of the Grant is July 3, 2017.
- 2.15 Proposed Burden Estimate. The University estimates that completing this application will require an average of 10-15 hours.

SECTION 3 - APPLICATION RESPONSE FORMAT

- 3.01 Application Response Format. All applications must be organized and tabbed to comply with the following sections. Pertinent supplemental information should be referenced and included as attachments.

Tab A LETTER OF TRANSMITTAL (COVER LETTER). The letter of transmittal should include an introduction of the applicant's name, as well as contact information for those persons who are authorized to represent the entity in dealing with this RFA.

Application Contact: List the name, title, office address, telephone number, fax number and e-mail address of the person(s) authorized to *represent the applicant regarding the application(s) submitted* in response to this RFA. **Agreement Contact:** Give the name, title, office address, telephone number, fax number and e-mail address of the person authorized to *sign an Agreement, and receive and sign all formal notices and/or addendum* regarding such Agreement. Note that all

amendments to any Agreement must be in writing and signed by both parties.

Please note that the Cover Letter is not included in the allotted ten (10) page maximum page count.

Tab B EXECUTIVE SUMMARY. An executive summary will briefly describe the proposed project and the Subrecipient Applicant's approach and clearly indicate any options or alternatives being proposed. If options or alternatives are proposed as exceptions to the RFA, the governmental entity should include an explanation for each option or alternative. It should also indicate any major requirements that cannot be met.

Tab C DETAILED DISCUSSION. This section should constitute the major portion of the application and must contain **a response to each section in this RFA. Responses should correspond, in order, to each of the relevant sub-categories, outlined in the selection criteria for sub-recipients on pages 6-12.** Failure to provide written response to items indicated in this RFA will be interpreted by the Eligible Partnership as an *inability* by the applicant to provide the requested function.

Tab D OPTIONAL LETTERS OF SUPPORT. Letters of support from internal and external stakeholders, though not required, are recommended.

SECTION 4 - GENERAL PROVISIONS

- 4.01 Protected Information. Under the Government Records Access and Management Act, Utah Code §§ 63G-2-101 to -901, as amended (“GRAMA”), certain information submitted in the application(s) may be open for public inspection or disclosure. Pursuant to Section 63G-2-309 of GRAMA, any confidential information provided to the Eligible Partnership that The Subrecipient Applicant believes should be protected from inspection or disclosure must be accompanied by a written claim of confidentiality and a concise statement of reasons supporting such claim. A copy of the University’s standard business confidentiality claim form may be found at (http://fbs.admin.utah.edu/download/purchasing/Business_Confidentiality_Claim_Form.pdf). Non-specific statements of confidentiality (e.g., marking a document confidential or proprietary in a cover letter, header, footer, or watermark) are insufficient to claim confidentiality under GRAMA. All material contained in and/or submitted with the application becomes the property of the Eligible Partnership and may be returned only at the University’s option.
- 4.02 Incurring Costs. The Eligible Partnership will not be liable for any cost Subrecipient Applicants may incur in connection with the preparation or presentation of their application(s). Applications should be concise, straightforward and prepared simply and economically. Expensive displays, bindings or promotional materials are neither desired nor required. However, these instructions are not intended to limit an

application's content or exclude any relevant or essential data therefrom.

- 4.03 Addendum to RFA. In the event that it becomes necessary to revise this RFA in whole or in part an addendum will be provided to all Subrecipient Applicants on record as having received this RFA.
- 4.04 Other Communications. During the RFA process (from the date of issue through the date of Grant award or other final decision) the Purchasing Department is the sole source of official information regarding this RFA. All other communications, both spoken and written, received by any representative of the Subrecipient Applicant from other sources (such as employees in the issuing department) should be confirmed by the Subrecipient Applicant with the buyer in the Purchasing Department assigned to this RFA as being true and accurate prior to incorporating such information into their response. This refers to both formal and informal conversations and communications. Significant changes to the RFA will always be issued as a formal, written addendum.
- 4.05 Alternative Applications. A Subrecipient Applicant may submit more than one application, each of which must follow the Grant Application Format (section 6 herein) and satisfy the requirements of this RFA. The Subrecipient Applicant's primary application must be complete and comply with all instructions. The alternative applications may be in abbreviated form following the grant application outline but providing complete information only for sections, which differ in any way from those, contained in the prime application. If alternative applications are

submitted, the Subrecipient Applicant must explain the reasons for the alternative(s) and its comparative benefits. Each application submitted will be evaluated on its own merits.

- 4.06 Authorized Subrecipient Applicant Representatives. The Eligible Partnership reserves the right to require a change in the individual assigned to represent the Subrecipient Applicant if the assigned representative is not serving the needs of the Eligible Partnership in an acceptable manner. This right shall carry forward through the response period and, with the successful Subrecipient Applicant, during the term of the Grant.
- 4.07 Award of Subcontracts. Subcontracts are not eligible uses of this cash grant.
- 4.08 Assignment. Subrecipient Applicant shall not assign or subcontract any portion of its obligations under the grant agreement without the prior written consent of the Eligible Partnership Purchasing Department. Assignment or subcontracting shall in no way relieve the Subrecipient Applicant of any of its obligations under this grant agreement.
- 4.09 Remedies. The laws of the State of Utah shall apply in all disputes arising out of this RFA, without application of any principles of choice of laws.
- 4.10 Compliance. The Subrecipient Applicant hereby agrees to abide with all applicable federal, state, county, and city laws and regulations and

to be responsible for obtaining and/or possessing any and all permits and licenses that may be required.

- 4.11 Cancellation. Inadequate delivery, unsatisfactory service or failure to adhere to the grant agreement covenants may result in cancellation of the grant agreement. The supplier shall be responsible for reimbursing the Eligible Partnership for expenses incurred as a result of unacceptable service. In the event that either party determines that a material breach has occurred that would be cause for cancellation of the grant agreement, the party wishing to cancel shall notify the other party of the alleged breach in writing, and allow the other party thirty (30) days in which to cure the alleged breach. If the alleged breach is not cured or substantial steps to cure the alleged breach are not taken within this period, the non-defaulting party may cancel the grant agreement at the end of said thirty (30) day period.
- 4.12 Acceptance of Services Rendered. The Eligible Partnership, through its designated agents and representatives, will be the sole determining judge of whether services rendered under the grant satisfy the requirements as identified in the grant agreement.
- 4.13 Anti-Collusion. The submission of an application constitutes agreement that the supplier has not divulged its application to, or colluded with, any other offeror or party to an application whatsoever.
- 4.14 Indemnification. The supplier shall hold harmless, defend and indemnify the Eligible Partnership and its officers, employees, and agents from and against any and all claims, losses, causes of action,

judgments, damages and expenses including, but not limited to attorney's fees because of bodily injury, sickness, disease or death, or injury to or destruction of tangible property or any other injury or damage resulting from or arising out of (a) performance or breach of this grant by Subrecipient Applicant, or (b) Subrecipient Applicant's use of University premises, or (c) any act, error, or omission on the part of the Subrecipient Applicant, or its agents, employees, invitees, participants, or subcontractors except where such claims, losses, causes of action, judgments, damages and expenses result solely from the negligent acts or omissions or willful misconduct of the Eligible Partnership, its officers, employees or agents.

- 4.15 Restrictions. All applications must clearly set forth any restrictions or provisions deemed necessary by the supplier to effectively service the proposed grant agreement.
- 4.16 Right to Reject. The Eligible Partnership reserves the right to reject any or all applications and to waive any informality or technicality in any application in the interest of the Eligible Partnership.
- 4.17 Record Keeping and Audit Rights. Any Subrecipient Applicant providing goods or services under any grant agreement shall maintain accurate accounting records for all goods and services provided thereunder, and shall retain all such records for a period of at least seven (7) years following termination of the grant agreement. Upon reasonable notice and during normal business hours the University, or any of its duly authorized representatives, shall have access to and the right to audit any records or other documents pertaining to the grant agreement The

University's audit rights shall extend throughout the term of the grant agreement and for a period of at least seven (7) years thereafter.

- 4.18 Management Reports. Upon request, the Subrecipient Applicant must be able to summarize and concisely report pertinent information to the Eligible Partnership in a timely manner, throughout the duration of any Grant resulting from this RFA.
- 4.19 Further Agreements. In addition to an application, the Eligible Partnership may from time to time require a supplier to execute certain additional documents or agreements, including without limitation a Grant Agreement, for the purpose of clarifying the intention of the parties with respect to providing the goods or services hereunder.
- 4.20 Relationship of the Parties. In assuming and performing the obligations of any Grant Agreement, the Eligible Partnership and any Subrecipient Applicant shall each be acting as independent parties and neither shall be considered or represent itself as a joint venture, partner, or employee of the other. Supplier affirms that the supplier or any employee in their organization does not have a conflict of interest or potential conflict of interest with the Eligible Partnership.
- 4.21 Equal Opportunity. No supplier of goods and/or services under this RFA or any Grant Agreement shall discriminate against any employee, applicant for employment, or recipient of services on the basis of veteran status, race, religion, color, sex, sexual orientation, age, disability, or national origin.

- 4.22 Taxes – Vendor’s Responsibility. Taxes – Supplier’s Responsibility. Suppliers shall be responsible for and pay all taxes which may be levied or incurred against the supplier in connection with the performance of any services under a Grant Agreement, including taxes levied or incurred against supplier’s income, inventory, property, sales, or other taxes.
- 4.23 Taxes – University is Exempt. The Eligible Partnership is exempt from State of Utah sales and excise taxes (State of Utah Sales Tax Exemption number: 11874443-002-STC). Exemption certification information appears on all purchase orders issued by the Eligible Partnership and such taxes will not apply to the Eligible Partnership unless otherwise noted.
- 4.24 Tax Liens. By submitting an application, the Subrecipient Applicant certifies that neither it nor its principals are presently subject to an outstanding tax lien in the State of Utah. If the supplier cannot certify this statement, the supplier will submit to the Eligible Partnership a written explanation for the review of the University. If the Subrecipient Applicant is subject to any outstanding tax lien in the State of Utah, the Eligible Partnership may reject the supplier’s quote, bid, offer, or application in response to the request pursuant to UCA 63G-6a-905.
- 4.25 Health Insurance Portability and Accountability Act (HIPAA). The University of Utah Health Sciences Center is subject to the Health Insurance Portability and Accountability Act of 1996 (HIPAA). This transaction may fall under the jurisdiction of HIPAA and seller must comply with applicable state and federal HIPAA laws. If you have any

questions, please contact the HIPAA Regulatory Office at 801-587-9241.

- 4.26 Debarment Clause. The Subrecipient Applicant certifies that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this grant agreement by any governmental department or agency. If Subrecipient Applicant cannot certify this statement, attach a written explanation for review by the University. Subrecipient Applicant must notify the Director of Purchasing within 30 days if debarred by any governmental entity during the Grant period.
- 4.27 Status Verification System. If a Grant is awarded through this RFA for the physical performance of services within the State of Utah, Subrecipient Applicant or Subrecipient Applicant's agent, contractor, subcontractor or service provider is required to register and participate in the Status Verification System (E-verify) to verify the work eligibility status of Subrecipient Applicant's or Subrecipient Applicant's agent's, contractor's, subcontractor's or service provider's employees hired on or after July 1, 2009 and employed in the State of Utah, in accordance with UCA Section 63G-12-302.
- 4.28 Insurance. Subrecipient Applicant shall maintain Commercial General Liability insurance with per occurrence limits of at least \$1,000,000 and general aggregate limits of at least \$2,000,000. Subrecipient Applicant shall also maintain, if applicable to Subrecipient Applicant's operations or performance of this Grant, Cyber Liability, Professional Liability, Liquor Liability, Aircraft Liability and/or Business Automobile

Liability insurance covering Subrecipient Applicant's owned, non-owned, and hired motor vehicles with liability limits of at least \$1,000,000 per occurrence. Such insurance policies shall be endorsed to be primary and not contributing to any other insurance maintained by the University.

If applicable, Subrecipient Applicant shall maintain and provide evidence of an employee dishonesty (fidelity) bond or other form of surety in the minimum amount of \$100,000 which guarantees that the bond or surety will reimburse the Eligible Partnership for any pecuniary loss that may be sustained by any act of fraud, dishonesty, forgery, theft, embezzlement, malfeasance, or misappropriation on the part of Supplier, or any of its employees, officers, directors, agents, contractors or subcontractors directly or indirectly. This bond shall be issued by a responsible surety company authorized to do business within the State of Utah, and shall be subject to the reasonable approval by the Eligible Partnership as to form and content.

Subrecipient Applicant shall maintain all employee related insurances, in the statutory amounts, such as worker's compensation, and employer's liability, for its employees or volunteers involved in performing services pursuant to this Grant Agreement. Subrecipient Applicant shall also maintain "special form" property insurance at replacement cost applicable to Subrecipient Applicant's property or its equipment and that contains a waiver of subrogation endorsement in favor of the University.

Subrecipient Applicant's insurance carriers and policy provisions must

be acceptable to the University's Risk and Insurance Manager and remain in effect for the duration of the Grant. The University of Utah shall be named as an additional insured on the Commercial General Liability, and if applicable, Aircraft Liability, and Liquor Liability insurance policy by endorsement. Subrecipient Applicant will cause any of its subcontractors, who provide materials or perform services relative to this Grant, to also maintain the insurance coverages and provisions listed above.

If the coverage's described above are not in place at the time an application is submitted, Subrecipient Applicant should describe in detail what types and levels of coverage are in place currently, and clearly indicate Subrecipient Applicant's ability and willingness to obtain the above listed coverage's if required by the University.

Subrecipient Applicant shall submit certificates of insurance as evidence of the above required insurance to the Eligible Partnership prior to the commencement of this Grant (mail to: **University of Utah Purchasing Department, Attn: Limher Montoya, 201 Presidents Circle Rm. 170, Salt Lake City, UT 84112**). Such certificates shall indicate that the Eligible Partnership will be given **thirty (30)** calendar days written notice prior to the cancellation of coverage.